

DEPARTMENT OF THE SECRETARY OF STATE
CERTIFICATION AND FILING DIVISION
UNIFORM COMMERCIAL CODE SECTION

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

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do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. The agency agrees to comply with 07 NCAC 04M. 0510 when deciding on a method of destruction. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule.

The Department of the Secretary of State and the Department of Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when "*administrative/reference value ends.*" The Department of the Secretary of State hereby agrees that it will establish and enforce internal policies setting minimum retention periods for records with this disposition instruction. Without the establishment of internal policies, the agency is not authorized by the Department of Cultural Resources to destroy these records.


The Department of the Secretary of State and the Department of Cultural Resources concur that the long-term and/or permanent preservation of electronic records require additional commitment and active management by the agency. The Department of the Secretary of State agrees to comply with all policies, standards, and best practices published by the Department of Cultural Resources regarding the creation and management of electronic records.

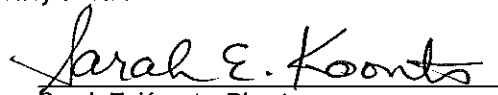
E-mail messages sent or received by Executive Branch agencies shall be retained for 10 years pursuant to Executive Order No. 18 (issued July 7, 2009 by Governor Beverly Perdue) and as set forth in G1 of the General Schedule for State Agency Records. Any e-mail messages requiring retention longer than 10 years, including those with permanent historical value, shall be designated with specific retention periods in this program records schedule. Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.

The Department of the Secretary of State agrees to destroy, transfer or dispose of records in the manner and the times specified herein. This schedule is to remain in effect until superseded.


APPROVAL RECOMMENDED

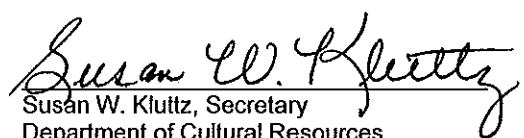

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ITEM 15700. UNIFORM COMMERCIAL CODE CORRESPONDENCE FILE.

Correspondence in paper and electronic formats, including e-mail, received from the secured party or a lender concerning the status of the debtor, or giving specific instructions for filing.

DISPOSITION INSTRUCTIONS: E-mail is retained in the department's e-mail archive for 10 years and then destroyed. Destroy remaining paper and electronic records in office when reference value ends.

ITEM 15701. UNIFORM COMMERCIAL CODE FINANCING STATEMENTS FILE.

Financing statements in paper and electronic formats concerning those who have secured a loan on commercial or agricultural property. File also includes statement amendment form. Data is entered into the Secretary of State Knowledge Base (SOSKB). Paper records are scanned and images are entered into the Secretary of State Knowledge Base (SOSKB).

DISPOSITION INSTRUCTIONS: Scan in office paper records when received. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Update in office routinely and retain scanned images in Secretary of State Knowledge Base (SOSKB) permanently.

ITEM 15702. TAX LIEN FILE.

Records concerning commercial tax liens against companies. File includes names, addresses, amount of liens, type of taxes, and dates of assessment.

DISPOSITION INSTRUCTIONS: Item discontinued. Records transferred to Tax Lien File (Item 15703).

ITEM 15703. TAX LIEN FILE.

Records concerning commercial tax liens against companies. File includes names, addresses, amount of liens, type of taxes, and dates of assessment. Data is entered into the Secretary of State Knowledge Base (SOSKB). Paper records are scanned and images are entered into the Secretary of State Knowledge Base (SOSKB).

DISPOSITION INSTRUCTIONS: Scan in office paper records when received. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Update in office routinely and retain scanned images in Secretary of State Knowledge Base (SOSKB) permanently.

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ITEM 46166. INFORMATION REQUEST (UCC-11) FORMS FILE.

Records concerning requests for searches for a particular name of debtor. Records are scanned and images are entered into the Secretary of State Knowledge Base (SOSKB).

DISPOSITION INSTRUCTIONS: Scan in office paper records when received. Print and scan in office electronic records, including e-mail, when received. E-mail is retained in the department's e-mail archive for 10 years and then destroyed. Destroy in office paper and electronic copies of scanned records after all quality control procedures have been completed. Update in office routinely and retain scanned images in Secretary of State Knowledge Base (SOSKB) permanently.